

09/767,969



10-01-01

Q.P. 2164  
PATENT

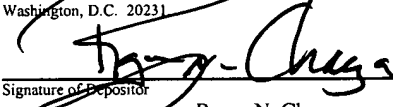
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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11/08/01  
N

In re application of: Bruce Evans  
Serial No.: 09/767,969  
Filed: January 23, 2001  
Publication Date: August 2, 2001  
Publication No.: US2001/0011244 A1  
Group: 2164  
Examiner: Jagdish Patel  
For: COTTON TRADING FORUM

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Technology Center 2100

Assistant Commissioner for Patents  
Washington, D. C. 20231

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I hereby certify that this paper or fee is being deposited with the United States Postal Service -- "Express Mail Post Office to Addressee" Service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.	
Signature of Depositor	
Typed or Printed Name of Depositor	Roger N. Chauza
Date of Signature	9-28-01

Dear Sir:

**THIRD PARTY SUBMISSION OF PRIOR ART UNDER RULE 1.99**

Submitted herewith is prior art to be considered in the examination of the above-identified patent application as published on August 2, 2001. The prior art is identified in the accompanying PTO Form 1449. A copy of each patent or publication is enclosed herewith for the convenience of the Examiner.

A check in the amount of \$180 is enclosed herewith for the fee in submitting prior art under Rule 1.99.

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THIRD PARTY SUBMISSION  
S/N 09/767,969

**Certificate of Service**

I hereby certify that a true and correct copy of the following:

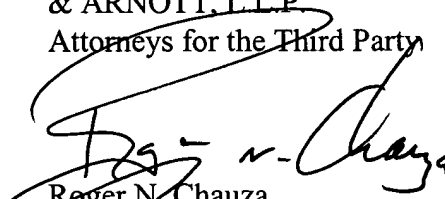
- 1) Paper entitled "Third Party Submission of Prior Art Under Rule 1.99",
- 2) PTO Form 1449, identifying the prior art submitted by the third party, and
- 3) A copy of each prior art reference identified in the PTO Form 1449

was sent by First Class U. S. Mail, postage prepaid, on this 28th day of September, 2001, to:

Mr. Bruce Evans  
C/O Ira S. Dorman  
Suite 200  
330 Roberts Street  
East Hartford, CT 06108

Please charge any additional fees or deficiencies in fees or credit any overpayment to Deposit  
Account No. 20-0780/25,878 of HOWISON, CHAUZA, THOMA, HANDLEY & ARNOTT, L.L.P.

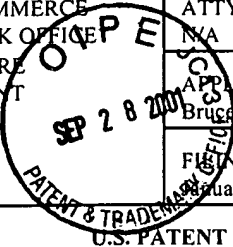
Respectfully submitted,  
HOWISON, CHAUZA, THOMA, HANDLEY  
& ARNOTT, L.L.P.  
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September 28, 2001

**THIRD PARTY SUBMISSION**  
S/N 09/767,969

FORM PTO-1449 (Rev. 2-32)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use several sheets if necessary)	ATTY. DOCKET NO. N/A	SERIAL NO. 09/767,969
		APPLICANT Brugg Evans	
		FILING DATE January 23, 2001	GROUP 2164



## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	6,014,643	01/11/2000	Minton	705	37	
	A2	5,915,209	06/22/1999	Lawrence	455	31.2	
	A3	5,727,165	03/10/1998	Ordish, et al.	395	237	
	A4	5,285,383	02/08/1994	Lindsey et al.	364	408	
	A5	5,063,507	11/05/1991	Lindsey et al.	364	408	
	A6	4,903,201	02/20/1990	Wagner	364	408	

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	B1	WO9919821	04/22/1999	WIPO	G06F17	60	

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## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	C1	Baker, M.V., "Electronic title-The Alternative to Share Certificates", Proceedings of the International Conference: Computers in the City, London, UK, 1983, 285-92
	C2	Commodity Futures Law Reports, 7 U.S. Code § 1a(33)

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.